

AUDIT TYPE = BO Grievance Report

AUDIT MONTH = April-2026

DP NAME (ID) = 70300 - GLOBALWORTH SECURITIES LIMITED

| Sr NO | Nature of Complaint  | Pending at the BEGINNING of the month(No. of | No. of cases RECEIVED during the month | No. of cases RESOLVED during the month | No. of cases PENDING at the end | No. of cases PENDING for more than 21 days. | Reason for pendency as shown in column (E) (F) |
|-------|--|--|--|--|---------------------------------|---|--|
| I     | Account Opening Related  | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| I a   | Denial in opening an account   | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| I b   | Account opened in another name than as requested   | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| I c   | Non receipt of Account Opening Kit   | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| I d   | Delay in activation/ opening of account  | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| I e   | Non Receipt of copy of Rights & Obligations document/ Schedule A of Charges                  | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| II    | Demat/Remat Related  | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| II a  | Delay in Dematerialisation request processing  | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| II b  | Delay in Rematerialisation request processing  | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| II c  | Delay in/ Non-Receipt of Original certificate after demat rejection                          | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| II d  | Non Acceptance of demat/remat request  | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| III   | Transaction Statement Related  | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| III a | Delay in/ Non-Receipt of Statements from DP  | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| III b | Discrepancy in Transaction statement   | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| IV    | Improper Service Related   | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| IV a  | Insistence in Power of Attorney in its favour  | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| IV b  | Deactivation/ Freezing/ Suspension related   | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| IV c  | Defreezing related   | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| IV d  | Transmission Related   | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| IV e  | Pledge Related   | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| IV f  | SMS Related  | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| IV g  | Non-updation of changes in account (address/ signatories/ bank detail/ PAN/ Nomination etc.) | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| V     | Charges Related  | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| V a   | Wrong/ Excess Charges  | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| V b   | Charges paid but not credited  | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| V c   | Charges for Opening/ closure of Account  | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| VI    | Delivery Instruction Related (DIS)   | 0  | 0                                      | 0                                      | 0                               | 0   |  |
| VI a  | Non acceptance of DIS for transfer   | 0  | 0                                      | 0                                      | 0                               | 0   |  |

|        |  |   |   |   |   |   |  |
|--------|--|---|---|---|---|---|--|
| VI b   | Delay in/ Non Execution of DIS   | 0 | 0 | 0 | 0 | 0 |  |
| VI c   | Delay in Issuance / Reissuance of DIS Booklet                                  | 0 | 0 | 0 | 0 | 0 |  |
| VII    | Account Closure  | 0 | 0 | 0 | 0 | 0 |  |
| VII a  | Non closure/ delay in closure of account                                       | 0 | 0 | 0 | 0 | 0 |  |
| VII b  | Closure of a/c without intimation by DP  | 0 | 0 | 0 | 0 | 0 |  |
| VIII   | Manipulation/ Unauthorised Action  | 0 | 0 | 0 | 0 | 0 |  |
| VIII a | Unauthorised Transaction in account  | 0 | 0 | 0 | 0 | 0 |  |
| VIII b | Manipulation   | 0 | 0 | 0 | 0 | 0 |  |
| VIII c | Unauthorised changes in account (address/ signatories/ bank details/ PAN etc.) | 0 | 0 | 0 | 0 | 0 |  |
| VIII d | Erroneous Transfer   | 0 | 0 | 0 | 0 | 0 |  |
| IX     | Company / RTA related  | 0 | 0 | 0 | 0 | 0 |  |
| IX a   | Action - Cash  | 0 | 0 | 0 | 0 | 0 |  |
| IX b   | Action - Non-Cash  | 0 | 0 | 0 | 0 | 0 |  |
| IX c   | Initial Public Offer / Follow-on Public Offer Related                          | 0 | 0 | 0 | 0 | 0 |  |
| X      | Others   | 0 | 0 | 0 | 0 | 0 |  |

DP Signature



**TREND OF MONTHLY DISPOSAL OF COMPLAINTS**

| <b>SN</b> | <b>MONTH</b>           | <b>CARRIED FORWARD FROM PREVIOUS MONTH</b> | <b>RECEIVED</b> | <b>RESOLVED*</b> | <b>PENDING**</b> |
|-----------|------------------------|--|-----------------|------------------|------------------|
| 1         | 2                      | 3  | 4               | 5                | 6                |
| 1         | <b>APRIL-2026</b>      | <b>NIL</b>                                 | <b>NIL</b>      | <b>NIL</b>       | <b>NIL</b>       |
| 2         | <b>MAY-2026</b>        |  |                 |                  |                  |
| 3         | <b>JUNE-2026</b>       |  |                 |                  |                  |
| 4         | <b>JULY-2026</b>       |  |                 |                  |                  |
| 5         | <b>AUGUST-2026</b>     |  |                 |                  |                  |
| 6         | <b>SEPTEMBER- 2026</b> |  |                 |                  |                  |
| 7         | <b>OCTOBER-2026</b>    |  |                 |                  |                  |
| 8         | <b>NOVEMBER- 2026</b>  |  |                 |                  |                  |
| 9         | <b>DECEMBER- 2026</b>  |  |                 |                  |                  |
| 10        | <b>JANUARY- 2027</b>   |  |                 |                  |                  |
| 11        | <b>FEBRUARY- 2027</b>  |  |                 |                  |                  |
| 12        | <b>MARCH-2027</b>      |  |                 |                  |                  |
| ....      |                        |  |                 |                  |                  |
| .....     |                        |  |                 |                  |                  |
|           | <b>GRAND TOTAL</b>     |  |                 |                  |                  |

\*Should include complaints of previous months resolved in the current month, if any

\*\* Should include total complaints pending as on the last day of the month, if any

^ Average resolution time is the sum total of time taken to resolve each complaint in the current month divided by total number of complaints resolved in the current month.

**TREND OF ANNUAL DISPOSAL OF COMPLAINTS**

| <b>SN</b> | <b>YEAR</b>        | <b>CARRIED FORWARD FROM PREVIOUS YEAR</b> | <b>RECEIVED DURING THE YEAR</b> | <b>RESOLVED DURING THE YEAR</b> | <b>PENDING AT THE END OF THE YEAR</b> |
|-----------|--------------------|---|---------------------------------|---------------------------------|---------------------------------------|
| 1         | 2017-2018          | NIL                                       | NIL                             | NIL                             | NIL                                   |
| 2         | 2018-2019          | NIL                                       | NIL                             | NIL                             | NIL                                   |
| 3         | 2019-2020          | NIL                                       | NIL                             | NIL                             | NIL                                   |
| 4         | 2020-2021          | NIL                                       | NIL                             | NIL                             | NIL                                   |
| 5         | 2021-2022          | NIL                                       | NIL                             | NIL                             | NIL                                   |
| 6         | 2022-2023          | NIL                                       | NIL                             | NIL                             | NIL                                   |
| 7         | 2023-2024          | NIL                                       | NIL                             | NIL                             | NIL                                   |
| 8         | 2024-2025          | NIL                                       | NIL                             | NIL                             | NIL                                   |
| 9         | 2025-2026          | NIL                                       | NIL                             | NIL                             | NIL                                   |
|           | <b>GRAND TOTAL</b> | <b>NIL</b>                                | <b>NIL</b>                      | <b>NIL</b>                      | <b>NIL</b>                            |